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4-18-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Alex D. Poon

Examiner: Unassigned

Application No.: 09/730,034

Art Unit: 2152

Filed: December 4, 2000

For: Method And Apparatus For  
Facilitating User Registration In An  
On-Line Auction Environment

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Commissioner for Patents  
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Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not

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to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

  X   37 C.F.R. §1.97(b).

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       A statement pursuant to 37 C.F.R. §1.97(e) or

       A check for \$240.00 for the fee under 37 C.F.R. § 1.17(p).

       37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

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Respectfully submitted,

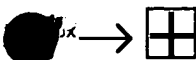
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated:   4-10  , 2002

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		<b>Application Number</b>	09/730,034	
		<b>Filing Date</b>	December 4, 2000	
		<b>First Named Inventor</b>	Alex D. Poon	
		<b>Group Art Unit</b>	2152	
		<b>Examiner Name</b>	Unassigned	
<b>Attorney Docket Number</b>	003801.P011			
Sheet 1	of	10		

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Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
mt	3,581,072	Nymayer	5/25/1971	3/28/1968
mt	3,573,747	Adams, et al.	4/6/1971	2/24/1969
mt	4,412,287	Braddock, III	10/25/1983	9/15/1982
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mt	4,677,552	Sibley, Jr.	6/30/1987	10/5/1984
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	Office or Country	Number	Date			
mt	PCT	WO 92/15174 /	2/25/1992	Beaumont-Maxin International	9/3/1992	
mt	PCT	WO 96/34356 ✓	4/26/1996	Fleanet, Inc.	10/31/1996	
mt	PCT	WO 97/37315 ✓	3/19/1997	Onsale, Inc.	10/9/1997	

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mt	MALONE, TW; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6, USA	
mt	WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case/Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
mt	"Personal Optimized Decision/Transaction Program", <u>IBM Technocal Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1, USA	
mt	NEO, BS, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1, No. 5	

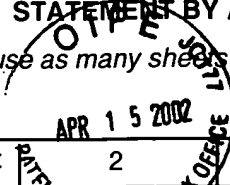
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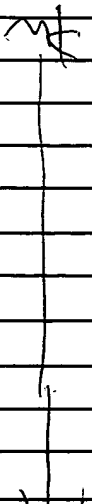
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

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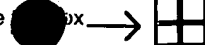
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		Number			
		5,136,501	Silverman, et al.	8/4/1992	5/26/1989
		5,168,446	Wiseman	12/1/1992	5/23/1989
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		Office or Country	Number	Date			
JH		Netherland	9300266 ✓	2.10.1993			
		France	2658635-A1 ✓	2.6.1991			
		Canada	2,253,543 ✓	3/19/1997			Yes

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	ROCKOFF, TE; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol 5, No. 4, Pages 10-16	
	MASSIMB, MN; PHELPS, BD, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50, Charlottesville, Virginia	
	POST, DL; COPPINGER, SS, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 1580-1584, Vol. 10, No. 3	
	HESS, CM; KEMERER, CF., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274	

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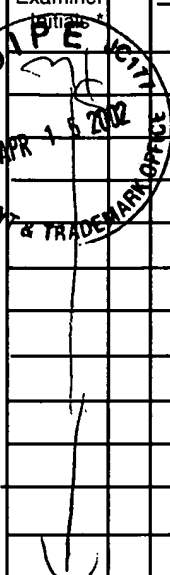
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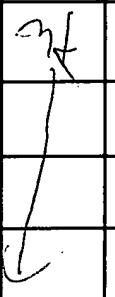
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			<b>Group Art Unit</b>	2152	
			<b>Examiner Name</b>	Unassigned	
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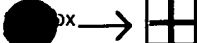
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OTHER DOCUMENTS		
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	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21, Elsevier Science Publishing Co., Inc. New York, Ny.	
	"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technocal Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3	
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	CLEMIN, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12	

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[Signature]	5,835,896	Fisher, et al.	11/10/1998	3/29/1996
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[Signature]	MARDESICH, J., "Onsale Takes Auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32, Mountain View, California.	
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	"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, Pages 3	

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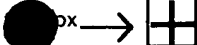
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	SCHMID, BF., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , October 1993, No. 9/10	
	TJOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", <u>Norwegian Computing Center</u> , No Date Given, Pages 1-10	
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3	VAN HECK, E; RIBBERS, PM., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given, Pages 1-6	
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	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-4	
	TURBAN, E., "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given, Pages 1-5	

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31		ZWASS, VLADIMIR., "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce</u> , Fall 1996, Pages 3-23, Vol, 1, No. 1	
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Substitute for Form 1449A/P10 (Modified) (use as many sheets as necessary) Page 8 of 10	Attorney Docket No.: 003801.P011	Application Number: 09/730,034
	First Named Inventor:  Alex D. Poon	
	Filing Date:	December 4, 2000

### U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
mt		4,864,516		Gaither et al.	09-05-1989	
		5,205,200		Wright	04-27-1993	
		5,485,510		Colbert	01-16-1996	
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		5,657,389		Houvener	08-12-1997	
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		5,706,457		Dwyer et al.	01-06-1998	
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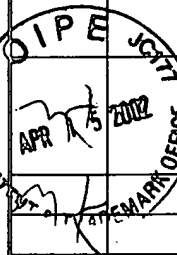
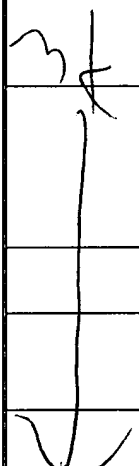
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
mt		WIPO	WO 99/63461	A1	Dinwoodie, David	12-09-1999		
mt		WIPO	PCT/US 01/12398	Int'l. Search Report	eBay, Inc.	08-27-2001		

Examiner Signature		Date Considered	
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<b>Substitute for Form 1449A/PTO (Modified)</b> (use as many sheets as necessary) Page 10 of 10		<b>Attorney Docket No.:</b> 003801.P011		<b>Application Number:</b> 09/730,034		
		<b>First Named Inventor:</b> Alex D. Poon				
		<b>Filing Date:</b> December 4, 2000				
<b>U.S. PATENT DOCUMENTS</b>						
Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
		6,104,815		Alcorn et al.	08-15-2000	
		6,202,051		Woolston	07-13-2001	
		6,266,651		Woolston	07-24-2001	
<b>OTHER ART - NO PATENT LITERATURE DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published				Translation <sup>2</sup>
		BUSINESS EDITORS, "Mediappraise: Mediappraise Receives National Award for Web-Based Technology That Enables Companies to Solve Thorny HR Problems," 12/14/98, 2 pgs., <a href="http://www.businesswire.com">www.businesswire.com</a> .				
		BUSINESS EDITORS/COMPUTER WRITERS, "ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts With Week-Long Charity Auction For The Computer Museum in Boston," 5/24/95, 3 pgs., <a href="http://www.dialogweb.com/cgi/dwclient?dwcommand=DWEBPRINT%20810-489267">http://www.dialogweb.com/cgi/dwclient?dwcommand=DWEBPRINT%20810-489267</a>				
		MEADE, J., "Visual 360: A Performance Appraisal System That's 'Fun' (Evaluation)," HRMagazine, 44, 7, 2 pgs., July 1999, Society for Human Resource Management.				
		PREIST, C., et al., "Adaptive Agents in a Persistent Shout Double Auction," Proceedings, 1 <sup>st</sup> International Conf. on Information and Computation Economies, October 25-28, 1998, pgs. 11-18, Charleston, N.C.				
		RESNICK, P., et al., "Reputation Systems," December 2000, Assoc. for Computing Machinery, Communications of the ACM, vol. 43, n. 12, 4 pgs.				
<b>Examiner Signature</b>					<b>Date Considered</b>	

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Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary) Page 9 of 10	Attorney Docket No.: 003801.P011	Application Number: 09/730,034
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Examiner Initial*	Cite No <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
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		5,803,500		Mossberg	09-08-1998	
		5,845,265		Woolston	12-01-1998	
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		6,073,117		Oyanagi et al.	06-06-2000	
		6,085,176		Woolston	07-04-2000	

### OTHER ART - NO PATENT LITERATURE DOCUMENTS

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